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JAN 15 2001

PTO-1449

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Luchoomun *et al.*

Serial No.: 09/833,407 Art Unit: 1614

Filed: April 11, 2001 Examiner: Unknown

For: Compounds and Methods to Increase Plasma HDL Cholesterol Levels and
Improved HDL Functionality

Assistant Commissioner for Patents
Box IDS
Washington, DC 20231

Information Disclosure Statement Transmittal

Sir:

Pursuant to the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, Applicants cite the publications listed on the accompanying PTO-1449. Copies of all listed references are enclosed.

Please charge any requisite fees associated with this paper to Deposit Account No. 11-0980.

Respectfully submitted,

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#4

1614

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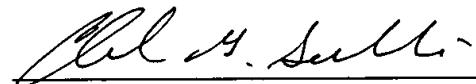
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Date: November 6, 2001

File No.: ATH113 (04676.105059)

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| Substitute for form 1449A/PTO | | | | Complete if Known | |
| | | | | Application Number | 09/833,407 |
| | | | | Filing Date | April 11, 2001 |
| | | | | First Named Inventor | Luchoomun <i>et al.</i> |
| | | | | Group Art Unit | 1614 |
| | | | | Examiner Name | Not Assigned |
| | | | | Attorney Docket Number | ATH113US (04676.105059) |
| Sheet 1 of 3 | | JAN 15 2002 (use as many sheets as necessary) | | JAN 18 2001 U.S. PATENT & TRADEMARK OFFICE RECEIVED OCT 16 2001 1600/2900 | |

U.S. PATENT DOCUMENTS

| Examiner Initials * | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pgs, Cols, Lns, Where Relevant Passages/Figures Appear |
|---------------------|-----------------------|----------------------|-------------------------|-------------------------------------------------|-----------------------------------------------------|--------------------------------------------------------|
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| | AA | 4,076,841 | | Wagner <i>et al.</i> | 02/28/1978 | |
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| | AC | 5,627,205 | | Regnier <i>et al.</i> | 05/06/1997 | |
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| Examiner Signature | Date Considered |
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Sheet

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of 3

| | |
|------------------------|----------------|
| Application Number | 09/815,262 |
| Filing Date | March 11, 2001 |
| First Named Inventor | Meng et al. |
| Group Art Unit | 1614 |
| Examiner Name | Not Assigned |
| Attorney Docket Number | 04676.105055 |

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| BD | FR | 2.168.137 | | 31.08.1973 | France(Eng. Trans.) | ✓ |

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| | | | |
|---------------------|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ⁶ |
| | BE | CHEMICAL ABSTRACT, DATABASE CHEMABS 'Online!, CHEMICAL ABSTRACTS SERVICE, COLUMBUS, OHIO, US, STN, Accession No. 127:75973, XP002115597, see abstract; RN 1706-68-9 & V.Z. LANKIN ET AL.: DOKL. AKAD. NAUK, V. 351, No. 4, 1996, pgs. 554-557. | |
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| Examiner Signature | Date Considered |
|--------------------|-----------------|

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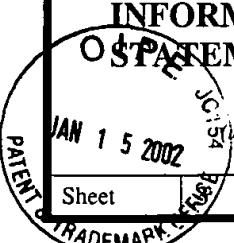
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS (CONTINUED)

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| CA | MAO et al., "Antioxidant Activity of Probucol and Its Analogues in Hypercholesterolemic Watanabe Rabbits," <u>Journal of Medicinal Chemistry</u> , January 1991, Vol. 34, No. 1, pp. 298-302. | |
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